

EXHIBIT “C”



**TO:** Neal Brickman, Esq.  
Nirav S. Shah, Esq.

**From:** Leonie A. Feliciano  
Senior Case Administrator

**Subject:** FINRA Dispute Resolution Services Arbitration Number 22-02539  
Simon D. Andriesz vs. BGC Financial, L.P., Cantor Fitzgerald & Co., Jean Pierre Aubin, Michael Carl Sulfaro, et al.

**Date:** July 5, 2024

Please be advised that the Director of Dispute Resolution Services has determined that the submissions made by Simon David Andriesz do not comply with the grounds enumerated in Rule 12905/13905.

Accordingly, the submissions will not be sent to the arbitrators.

If you have any questions, please do not hesitate to contact me at 212-858-3928 or by email at [Neprocessingcenter@finra.org](mailto:Neprocessingcenter@finra.org).

LZH:lzh:LC66D  
idr: 09/16/2022

**RECIPIENTS:**

Neal Brickman, Esq., The Law Offices of Neal Brickman, P.C., 420 Lexington Avenue, Suite 2811, New York, NY 10170  
On Behalf Of: Simon David Andriesz

Nirav S. Shah, Esq., Cantor Fitzgerald & Co., 110 East 59th Street, 7th Floor, New York, NY 10022

On Behalf Of: BGC Financial, L.P.; Cantor Fitzgerald & Co.; Jean Pierre Aubin; Paul Marc Pion; William Michael Shields; Mark Webster